



Receipt is hereby acknowledged for the following in the U.S. Patent and Trademark Office

Date of Deposit: April 22, 2004  
Express Mail No.: EL984583563US

Applicant: Adam J. Almen  
Title: APPARATUS AND METHOD FOR MONITORING HEART RATE VARIABILITY  
Serial Number: To Be Assigned  
Filing Date: April 22, 2004  
Docket Number: 2010.3-US-01

- ☒ Patent application including 21 pages of specification, 10 pages of claims, 19 sheets of drawings and 1 page of abstract
- ☒ Signed Declaration and Power of Attorney
- ☒ Fee Transmittal FY 2004
- ☒ Utility Patent Application Transmittal
- ☒ Check in the amount of \$802.00 for Filing Fees
- ☒ Transmittal Sheet
- ☒ Return postcard

19270 U.S. PTO  
10/829544



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Adam J. Almen

Docket No.:

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**CERTIFICATE UNDER 37 C.F.R. 1.10:**

'Express Mail' mailing number: EL984583563US

Date of Deposit: April 22, 2004

The undersigned hereby certifies that this Transmittal Letter and the paper or fee, as described herein, are being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Alexandria, VA 22313-1450.

By:

*Mary Johnston*  
Mary Johnston

Mail Stop PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

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| CLAIMS FILED              |              |              |                      |           |                  |
|---------------------------|--------------|--------------|----------------------|-----------|------------------|
|                           | Total Claims | In Excess of | Extra Claims Present | Rate      | Fees             |
| Basic Filing Fee          |              |              |                      |           | \$ 385.00        |
| Total Claims              | 52           | 20           | 32                   | X \$9.00  | \$ 288.00        |
| Indep. Claims             | 6            | 3            | 3                    | X \$43.00 | \$ 129.00        |
| Multiple Dependent Claims |              |              |                      |           | \$               |
| <b>TOTAL FEES</b>         |              |              |                      |           | <b>\$ 802.00</b> |

Authorization is hereby given to charge any additional fees or credit any overpayments that may be deemed necessary to Deposit Account Number 50-1038.

Respectfully submitted,

Altera Law Group, LLC

Customer No. 22865

Date:

4/22/04

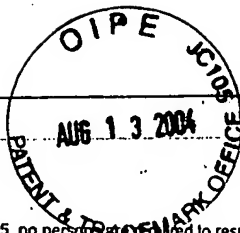
By:

*Jeffrey R. Stone*  
Jeffrey R. Stone

Reg. No. 47,976

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EL984583563US



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PTO/SB/05 (01-04)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

|  |                        |                          |
|--|------------------------|--------------------------|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><br>(Only for new nonprovisional applications under 37 CFR 1.53(b)) | Attorney Docket No.    | 2010.3-US-01             |
|  | First Inventor         | Adam J. Almen            |
|  | Title                  | Apparatus and method . . |
|  | Express Mail Label No. | EL984583563US            |

|   |   |
|---|---|
| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents. | <b>ADDRESS TO:</b><br>Mail Stop Patent Application<br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria VA 22313-1450 |
|---|---|

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 33]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 19]
5. Oath or Declaration [Total Sheets 2]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - c. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statements verifying identity of above copies

#### ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Trans. Cov. Ltr./Cert. Exp. Mail

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....

Prior application Information: Examiner \_\_\_\_\_ Art Unit: \_\_\_\_\_  
For CONTINUATION OR DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

#### 19. CORRESPONDENCE ADDRESS

|  |                  |  |
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| <input checked="" type="checkbox"/> Customer Number: | <u>22865</u>     | OR <input type="checkbox"/> Correspondence address below |
| Name   |                  |  |
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| City   | State            | Zip Code   |
| Country  | Telephone        | Fax  |
| Name (Print/Type)                                    | Jeffrey R. Stone | Registration No. (Attorney/Agent)                        |
| Signature  |                  | 47,976   |
|  |                  | Date   |
|  |                  | 04/22/2004   |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.  
If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.